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Part LVII

Securities and Exchange Commission

Semiannual Regulatory Agenda

SECURITIES AND EXCHANGE COMMISSION (SEC)

SECURITIES AND EXCHANGE COMMISSION

17 CFR Ch. II

[Release Nos. 33-6794, 34-26011, 35-24702, 39-2178, IC-16531, IA-1137; File No. S7-18-88]

Regulatory Flexibility Agenda and Rules Scheduled for Review

AGENCY: Securities and Exchange Commission.

ACTION: Publication of regulatory flexibility agenda and rules scheduled for review.

SUMMARY: The Securities and Exchange Commission is today publishing an agenda of its open and anticipated rulemaking actions, pursuant to Chapter Six of the Administrative Procedure Act and Office of Management and Budget Bulletin 88-15. The agenda is a general announcement to the public intended to provide advance notice of rulemaking actions which may have a significant economic impact on a substantial number of small entities. The Commission invites questions and public comment on individual agenda entries.

DATE: Public Comments are due by December 31, 1988.

ADDRESSES: Persons wishing to submit written views should file three copies with Jonathan G. Katz, Secretary, Securities and Exchange Commission, 450 5th Street, NW., Room 6184, Stop 6-9, Washington, DC 20549. All submissions should refer to File No. S7-18-88, and will be available for public inspection at the Commission's Public Reference Room, Room 1026, at the same address.

FOR FURTHER INFORMATION CONTACT: William J. Atkinson, Office of Economic Analysis, Securities and Exchange Commission, 450 5th Street, NW., Room 9200, Stop 9-1, Washington, DC 20549 (202-272-7100). Additional names of persons to contact are identified with each entry.

SUPPLEMENTARY INFORMATION: The Regulatory Flexibility Act ("RFA") (Pub. L. No. 96-354, 94 Stat. 1164 [September 19, 1980]) requires each federal agency during April and October of each year to publish in the **Federal Register** a regulatory flexibility agenda identifying rules which the agency expects to propose or adopt which are likely to have a significant economic impact on a substantial number of small entities (the "significant impact criterion").[1]

The RFA also requires the Commission to publish a plan for the periodic review of all rules issued by the agency which have or will have a significant economic impact on a substantial number of small entities.[2] The Commission published such a plan in 1981.[3] The plan provides for the review of all rules in effect on January 1, 1981 within ten years of that date and for the review of all rules adopted thereafter within ten years of their adoption as final rules. The RFA further requires publication each year of a list of those rules which are to be reviewed during the succeeding twelve months.[4]

The Commission's continuing review of its rules, begun before the effective date of the statute (January 1, 1981), extends beyond the requirements of the RFA. Consequently, some rules listed in this part of the agenda may not be subject to RFA review requirements. The Commission is identifying them here in order to inform the public of its intention to review them. The agenda also identifies the rulemaking actions which have been completed (or withdrawn) since the last RFA release was approved by the Commission on March 1, 1988.[5]

The statute specifically provides that the agenda does not preclude the Commission from considering or acting on any matter not included, nor is the Commission required to consider or act on any matter which is included.[6] Furthermore, the inclusion of a rule in the Commission's agenda reflects only the staff's preliminary judgment that the rule, if adopted or as it exists, may have a significant economic impact on a substantial number of small entities.[7] This preliminary judgment may be changed upon further analysis. The Commission's entries to the October 1988 Unified Agenda of Federal Regulations are listed below. The Commission's agenda includes new entries as well as items carried over from the April 1988 publication. New entries are marked with a bullet. Copies of this preamble and a list of the entries (which includes next action dates and identifies a staff contact) are available from the Commission's Office of Public Affairs (Room 1015). The agenda also is available for inspection and copying in the Public Reference Room (Room 1026) (File S7-18-88), as noted above.

The Commission invites public comment on the individual entries in its regulatory agenda.

Dated: August 19, 1988.

By the Commission.

Jonathan G. Katz,

Secretary.

Prerule Stage

Sequence Number	Title	Regulation Identifier Number
3932	17 CFR 210.9-03(7)(e) Financial Statement Disclosure by Bank Holding Companies About Loans to Related Parties	3235-AB45
3933	17 CFR 229 Report of Management's Responsibilities	3235-AD29
3934	17 CFR 210 Request for timely review of quarterly financial information	3235-AD31
3935	17 CFR 240. 3a12-10 Exemption of Sales of Certain Interests and Participations Issued in Connection with H.R. 10 Plans from Section 15(a)	3235-AC16

[1] 5 U.S.C. 602(a).

[2] 5 U.S.C. 610(a).

[3] Securities Act Release No. 6362 (June 24, 1981) [46 FR 33287].

[4] 5 U.S.C. 610(c).

[5] Securities Act Release No. 6757 (April 25, 1988) [53 FR 14714].

[6] 5 U.S.C. 602(d).

[7] The agenda relies on the definitions of the term "small entity" for purposes of the RFA which were adopted by the Commission for the various categories of regulated entities. *See* Securities Act Release No. 6380 (January 28, 1982) [47 FR 5215].

SEC

Prerule Stage—Continued

Sequence Number	Title	Regulation Identifier Number
3936	17 CFR 240. 17Ad-8 Rule 17Ad-8 of the Securities Exchange Act	3235-AC29
3937	17 CFR 240. 15c2-10 Rule 15c2-10	3235-AC94
3938	17 CFR 12d3-1 Proposed Amendments to Rule 12d3-1 under the Investment Company Act of 1940	3235-AD19
3939	17 CFR 270.36a-1 Proposed Rule 36a-1 under the Investment Company Act the ("ICA")	3235-AD33
3940	17 CFR 275.203(b)(1) -1 Exemption from Registration Under the Advisers Act for certain Smaller Investment Advisers	3235-AD38

Proposed Rule Stage

Sequence Number	Title	Regulation Identifier Number
3941	17 CFR 229 Amendments to Regulation S-K Regarding changes in Accountants; Acceleration of the timing for filing forms 8-K relating to changes in Accountants and Resignations of Directors	3235-AD30
3942	17 CFR 210 Technical Amendments to Regulation S-X	3235-AD32
3943	17 CFR 240.16a-1 to 240.16a-11 Reports of Directors, Officers and Principal Stockholders	3235-AB14
3944	17 CFR 239.16b Form S-8 Registration Statement under the Securities Act of 1933	3235-AB79
3945	00 CFR Not yet determined Rulemaking for Operational Edgar System	3235-AC48
3946	17 CFR 230. Rule 153 Definition of preceded by a prospectus as used in Section 5(b)(2) in relation to certain transactions	3235-AC61
3947	17 CFR 210 Facilitation of Multinational Securities Offerings	3235-AC64
3948	17 CFR 230.144A Proposed Rule for Limited Resales of Securities	3235-AC65
3949	17 CFR 230 Classification of Small Issuers for Reporting Purposes	3235-AC66
3950	17 CFR 270.3a-7 Two-Tier Real Estate Companies	3235-AC84
3951	17 CFR 270.17f-5 Rule 17f-5 under the Investment Company Act of 1940	3235-AC85
3952	17 CFR 229.303 Management's Discussion and Analysis of Financial Condition and Operations	3235-AD03
3953	17 CFR 230.144 Section 16(a) Compliance	3235-AD04
3954	17 CFR 240.13d-1 Regulation 13D-G	3235-AD09
3955	17 CFR 230.134 Communications not Deemed a Prospectus	3235-AD22
3956	17 CFR 240 Disclosure of Block Repurchases by an Issue or Affiliate	3235-AD25
3957	17 CFR 240.10b-21 Proposed Rule 10b-21 of the Securities Exchange Act of 1934 - Short Sales in Connection with a Public Offering	3235-AC95
3958	17 CFR 240.14a Shareholder Lists	3235-AD41
3959	17 CFR 240.14a-102 Disclosure of Significant Equity Participants in Control Transactions	3235-AD42
3960	17 CFR 230.112 Lock-Box Rules	3235-AD43
3961	17 CFR 801. Rule 801	3235-AD44
3962	17 CFR 230.180 Amendment to Rule 180 -- Exemption from Registration of Certain Interests and Participations in Certain H.R. 10 Plans	3235-AA08
3963	17 CFR 270.11a-3 Proposed Rules 11a-3 and 11c-1 Under the Investment Company Act	3235-AA14
3964	00 CFR Not yet determined Mutual Fund Governance	3235-AA44
3965	17 CFR 270.17j-1 Rule 17j-1 under the Investment Company Act of 1940	3235-AA68
3966	17 CFR 240.14a-1 to 240.14a-102 Revision of Investment Company Proxy Rules	3235-AA69
3967	17 CFR 239.14 Prospectus Simplification Amendments to Form N-2	3235-AB40
3968	17 CFR 275.206 (3)-3 Method for Compliance with Section 206(3) of the Investment Advisers Act of 1940 with respect to Certain Transactions	3235-AB74
3969	17 CFR 270.3a-6 Proposed Rule 3a-6 under the Investment Company Act(the "ICA")	3235-AC03
3970	17 CFR 275.206 (4)-1 Advertising by Investment Advisers	3235-AC09
3971	17 CFR 270.12b-1 Proposed amendments to Rules 12b-1 and 17d-3 under the Investment Company Act of 1940, and to item 7 of Form N-1A under the Securities Act of 1933	3235-AC11
3972	17 CFR 270.10f-3 Exemption of Acquisition of Securities During the Existence of Underwriting Syndicate	3235-AC28
3973	17 CFR 270. 12d3-2 Proposed Rule 12d3-2under the Investment Company Act	3235-AC36
3974	00 CFR Not yet determined Advertising by Unit Investment Trusts	3235-AC70
3975	17 CFR 270.6c-10 Proposed Rule 6c-10 under the Investment Company Act of 1940	3235-AD18
3976	17 CFR 230.139a Information that Broker-Dealers may Disseminate about Investment Companies	3235-AD20
3977	17 CFR 275. Revisions to the registration and the annual supplement forms used by Investment Advisers	3235-AD21
3978	17 CFR 239.17a Variable Annuity Fee Table	3235-AD36
3979	17 CFR 250.17 Diversification by Exempt Holding Companies	3235-AD39

SEC

Final Rule Stage

Sequence Number	Title	Regulation Identifier Number
3980	17 CFR 210.5-02 Proposals Regarding Industry Segment and Other Interim Financial Reporting Matters, Management's Discussion and Analysis, and Off Balance Sheet Financing Disclosures	3235-AB15
3981	17 CFR 240.13e-2 Acquisitions of Substantial Amounts of Securities and Related Activities during and following a Tender Offer for those Securities	3235-AA50
3982	17 CFR 210 Independent Accountants - Mandatory Peer Review	3235-AC79
3983	17 CFR 230.433 Prospectus delivery requirements in firm commitment underwritten offerings of securities made for cash (Rule 433)	3235-AC80
3984	17 CFR 240.12b-25 Reporting Requirements for Change in Fiscal Year End	3235-AD05
3985	17 CFR 230.901-906 Regulation S - Rules governing offers and Sales made outside the United States without Registration under the Securities Act of 1933	3235-AD23
3986	17 CFR 230.465 Automatically Effective Post -Effective Amendments for Acquisitions by Certain limited Partnerships	3235-AD24
3987	17 CFR 240.15a-6 Exemption of certain foreign brokers or dealers	3235-AD27
3988	17 CFR 215. Regulation D	3235-AD45
3989	17 CFR 270.3a-4 Proposed Rule 3a-4 -- Individualized Investment Management Services	3235-AA12
3990	17 CFR 270.17g-1 Proposed Amendment to Rule 17g-1 Under the Investment Company Act	3235-AA16
3991	17 CFR 239.16 Simplification of Registration Statements Filed by Unit Investment Trusts	3235-AA47
3992	17 CFR 270.24f-3 Registration Under The Securities Act of 1933 of an Indefinite Number of Certain Investment Company Securities	3235-AC10
3993	17 CFR 230.134 Disclosure of Security Ratings in Registration Statements of Money Market Funds	3235-AC24
3994	17 CFR 274.11A N-1A Technical Amendments	3235-AC25
3995	17 CFR 270.17f-6 Custody of Investment Company Assets with Registered Futures Commission Merchants	3235-AD34
3996	17 CFR 270.17f-1 Forms for Filings by accountants	3235-AD37

Completed Actions

Sequence Number	Title	Regulation Identifier Number
3997	17 CFR 210 Request for Comments on "Opinion Shopping"	3235-AC02
3998	17 CFR 210 Proposed Additions to Rules and Guide for Disclosures concerning Reserves for Unpaid Claims and Claim Adjustment Expenses of Property - Casualty Underwriters	3235-AC44
3999	17 CFR 240.14a-1 Facilitating Shareholder Communications	3235-AC81
4000	17 CFR 230.701 Rules 701, 702, 703 and Form 701	3235-AC82
4001	17 CFR 230.501 Regulation D	3235-AC83
4002	17 CFR 240.14a-1 Facilitating Shareholder Communications	3235-AD07
4003	17 CFR 229.401 Elimination of Filing Requirements for Preliminary Proxy Material Under Certain Circumstances; Rule 14a-8 Shareholder Proposals	3235-AD08
4004	17 CFR 200.81 Publication of Interpretative and No-Action Letters and Other Written Communications	3235-AD10
4005	17 CFR 240.19c-4 Voting Rights Listing Standards - Disenfranchisement Rule, Rule 19c-4	3235-AD28
4006	17 CFR 240.15Bc7-1 Rule 15Bc7-1 of the Securities Exchange Act of 1934 ("Exchange Act")	3235-AD51
4007	17 CFR 240.17a-5 Rule 17a-5 of the Securities Exchange Act of 1934	3235-AD52
4008	17 CFR 239.18 Form S-11, For Registration under the Securities Act of 1933 of Securities of Certain Real Estate Companies	3235-AD40
4009	17 CFR 230.174 Rule 174 Amendment - Prospectus Delivery During Quiet Period	3235-AC34
4010	17 CFR 275.204-2(a) Revision of Certain Investment Adviser Recordkeeping Rules	3235-AC97
4011	17 CFR 270.10f-2 Rule 10f-2 Under the Investment Company Act of 1940-- "Exercise of warrants or rights received on portfolio."	3235-AD26
4012	17 CFR 270.19a-1 Rule 19a-1 Under the Investment Company Act of 1940-- "Written statement to accompany dividend payments by management companies."	3235-AD35
4013	17 CFR 270.19b-1 Rule 19b-1 Under the Investment Company Act of 1940 -- "Frequently of distribution of capital gains."	3235-AD46
4014	17 CFR 270.23c-2 Rule 23c - 2 Under the Investment Company Act of 1940 -- "Call and redemption of securities issued by registered closed-end companies	3235-AD47
4015	17 CFR 270.24e-1 Rule 24e-1 Under the Investment Company Act of 1940--"Filing of certain prospectus as post-effective amendments to registration statements under the Securities Act of 1933"	3235-AD48
4016	17 CFR 270.24b-1 Rules 24b-1, 24b-2, and 24b-3 Under the Investment Company Act of 1940, rules relating to the filing of sales literature with the Commission to comply with Section 24(b) of the Act	3235-AD49
4017	17 CFR 270.24e-2 Rule 24e-2 Under the Investment Company Act of 1940-- "Computation of Fee."	3235-AD50

SECURITIES AND EXCHANGE COMMISSION (SEC)

Prerule Stage

Accounting Rules

3932. FINANCIAL STATEMENT DISCLOSURE BY BANK HOLDING COMPANIES ABOUT LOANS TO RELATED PARTIES

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77h; 15 USC 77j; 15 USC 77s(a); 15 USC 77a (25); 15 USC 77a (26); 15 USC 78l; 15 USC 78m; 15 USC 78n; 15 USC 78o(d); 15 USC 78w(a)

CFR Citation: 17 CFR 210.9-03(7)(e)

Legal Deadline: None

Abstract: The staff is considering whether to recommend that the Commission propose amendments to its rules in Article 9 of Regulations S-X requiring disclosure by bank holding companies about loans to related parties. Assertions have been made that accumulation of the required information may be unreasonably costly.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: Jeffrey Jones, Professional Accounting Fellow, Securities and Exchange Commission, 450 5th Street, NW, Washington, DC 20549, 202 272-2130

RIN: 3235–AB45

3933. ● REPORT OF MANAGEMENT'S RESPONSIBILITIES

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77h; 15 USC 77i; 15 USC 77s(a); 15 USC 77aa (25) and (26); 15 USC 78l; 15 USC 78n; 15 USC 78o (d); 15 USC 78w (a); 15 USC 79c (b); 15 USC 79n; 15 USC 79t (a); 15 USC 80a-8; 15 USC 80a-29

CFR Citation: 17 CFR 229; 17 CFR 240; 17 CFR 249; 17 CFR 270; 17 CFR 274

Legal Deadline: None

Abstract: The Commission has proposed rules to require registrants to include a report of management's responsibilities in Forms 10-K and N-SAR and annual reports to security holders. The management report would contain a description or statement of management's responsibilities for the preparation of the registrant's financial statements and other financial information and for establishing and maintaining a system of internal control directly related to financial reporting, with management's assessment of the effectiveness of the registrant's internal control system.

Timetable:

Action	Date	FR Cite
ANPRM	10/30/88	
Final Action	01/31/89	

Small Entities Affected: Undetermined

Government Levels Affected: None

Agency Contact: John W. Albert, Assistant Chief Accountant, Securities and Exchange Commission, Office of the Chief Accountant, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2130

RIN: 3235–AD29

3934. ● REQUEST FOR TIMELY REVIEW OF QUARTERLY FINANCIAL INFORMATION

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77h; 15 USC 77j; 15 USC 77s (a); 15 USC 77aa (25) and (26); 15 USC 78l; 15 USC 78n; 15 USC 78o (d); 15 USC 78w (a); 15 USC 79c (b); 15 USC 79n; 15 USC 79t (a); 15 USC 80a-8; 15 USC 80a-29

CFR Citation: 17 CFR 210; 17 CFR 229

Legal Deadline: None

Abstract: The Commission has stated that if intents to issue a concept release soliciting comments on the costs and benefits of requiring independent public accountants to review quarterly financial data of all public companies before it is released to the public. The staff is preparing such a release.

Timetable:

Action	Date	FR Cite
ANPRM	12/31/88	

Small Entities Affected: Undetermined

Government Levels Affected: None

Agency Contact: Jack C. Parsons, Professional Accounting Fellow, Securities and Exchange Commission, Office of the Chief Accountant, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2130

RIN: 3235–AD31

Securities Markets and Securities Industry Rules

3935. EXEMPTION OF SALES OF CERTAIN INTERESTS AND PARTICIPATIONS ISSUED IN CONNECTION WITH H.R. 10 PLANS FROM SECTION 15(A)

Legal Authority: 15 USC 78c(a)(12); 15 USC 78o; 15 USC 78w; 15 USC 77c(a)(12); 15 USC 77s(a)

CFR Citation: 17 CFR 240. 3a12-10; 17 CFR 230.180

Legal Deadline: None

Abstract: The proposed rule would specify certain conditions under which persons engaged in the sale of interests and participation issued in connection with certain tax-qualified retirement plans ("H.R.10" or "Keogh" plans) would not be required to register as broker-dealers under Section 15(a) of the Securities Exchange Act of 1934. In 1981, the Commission adopted Rule 180 under the Securities Act of 1933 exempting from the registration requirements of that Act interests and participations issued in connection with H.R. 10 plans. The proposed rule provides a parallel exemption from broker-dealer registration for sales of such interests and participations in H.R. 10 plans. As an alternative the staff could consider granting no-action or exemptive requests on a case-by-case basis. However, such procedure would be inefficient and needlessly expensive for both the public and the Commission staff. In addition, the Commission is proposing to amend Rule 180 to clarify that, under paragraph (a)(3)(ii) of that Rule, the employer only needs to obtain investment advice prior to the investment of plan assets. This proposal codifies a previous staff position.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Susan J. Walters, Branch Chief, Legal Interpretations, Securities and Exchange Commission, Division of Market Regulation, 450 5th

Street, N.W., Washington, D.C. 20549, 202 272-2417

RIN: 3235–AC16

3936. RULE 17AD-8 OF THE SECURITIES EXCHANGE ACT

Legal Authority: 15 USC 17b; 15 USC 78g-1; 15 USC 78w(a)

CFR Citation: 17 CFR 240. 17Ad-8

Legal Deadline: None

Abstract: Rule 17Ad-8 requires a registered clearing agency, at the request of an issuer, to provide the issuer with a "securities position listing." A securities position listing is a list of the clearing agency's participants on whose behalf the clearing agency holds the issuer's securities as well as participants' positions as of a specified date. The Rule further provides that the clearing agency may charge a reasonable fee for providing the list.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: Thomas C. Etter, Jr., Attorney, Securities and Exchange Commission, Division of Market Regulation, 450 Fifth Street, N.W., Washington, DC 20549, 202 272-2782

RIN: 3235–AC29

3937. RULE 15C2-10

Legal Authority: 15 USC 78b; 15 USC 78k-1; 15 USC 78o(c)(1); 15 USC 78o(c)(2); 15 USC 78w(a)

CFR Citation: 17 CFR 240. 15c2-10

Legal Deadline: None

Abstract: The Division of Market Regulation is preparing a draft release that would solicit comment on a rule that would govern the operation of proprietary securities trading systems that are not operated as facilities of a national securities association or exchange.

Timetable:

Action	Date	FR Cite
NPRM Comment Period End	10/30/87	

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: William M. Harter, Attorney, Securities and Exchange Commission, Division of Market Regulation, 450 Fifth St., N.W., Washington, D.C. 20549, 202 272-2414

RIN: 3235–AC94

Investment Management Rules

3938. PROPOSED AMENDMENTS TO RULE 12D3-1 UNDER THE INVESTMENT COMPANY ACT OF 1940

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-37

CFR Citation: 17 CFR 12d3-1

Legal Deadline: None

Abstract: The Commission is considering whether to propose amendments to Rule 12d3-1 under the Investment Company Act of 1940, which provides exemptive relief from the Act's prohibition against investment company acquisitions of securities issued by persons engaged in certain securities-related businesses. If adopted, the proposed amendments would expand the exemptive relief provided by the rule to permit, under certain conditions, investment companies to acquire equity securities issued by persons organized outside the United States that are engaged in securities related businesses.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D. C. 20549, 202 272-2048

RIN: 3235–AD19

3939. ● PROPOSED RULE 36A-1 UNDER THE INVESTMENT COMPANY ACT THE ("ICA")

Legal Authority: 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.36a-1

Legal Deadline: None

Abstract: The Commission is considering whether to propose a rule that would require non-resident directors of registered management investment companies to designate a resident agent for service of process in any action before the Commission or in any appropriate court of the United States with respect to any action arising under the provisions of the securities acts.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Wendy B. Finck, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2048

RIN: 3235–AD33

3940. ● EXEMPTION FROM REGISTRATION UNDER THE ADVISERS ACT FOR CERTAIN SMALLER INVESTMENT ADVISERS

Legal Authority: 15 USC 80b-6A

CFR Citation: 17 CFR 275.203(b)(1) -1; 17 CFR 275.203(b)(3) -2

Legal Deadline: None

Abstract: Commission staff have been considering draft rule proposals to exempt smaller investment advisers from most federal adviser regulation, other than the antifraud provisions, if the advisers are registered in all states in which they do business. The purpose of the exemptions would be to place primary regulatory responsibility for certain smaller investment advisers with states that actively regulate advisers. The draft rule proposals, which include both an interstate and an intrastate exemption, would determine eligibility for the exemptions by reference to the size of the adviser's business; whether the adviser has custody of client funds or securities; and whether the adviser is registered as an adviser in the state or states in which it does business. The draft rule proposals are expected to have a significant impact on a substantial

number of small entities. Since the draft rule proposals are still in a developmental stage and have not yet been proposed by the Commission, any attendant costs are unknown. However, they are expected to be slight, if any, due to

Timetable:

Action	Date	FR Cite
Next Action Undetermined		

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: ABSTRACT (con't) the deregulatory nature of the draft proposals.

Agency Contact: Dorothy M. Donohue, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2107

RIN: 3235–AD38

SECURITIES AND EXCHANGE COMMISSION (SEC) — Proposed Rule Stage

Accounting Rules

3941. ● AMENDMENTS TO REGULATION S-K REGARDING CHANGES IN ACCOUNTANTS; ACCELERATION OF THE TIMING FOR FILING FORMS 8-K RELATING TO CHANGES IN ACCOUNTANTS AND RESIGNATIONS OF DIRECTORS

Legal Authority: 15 USC 77f; 15 USC 77G; 15 USC 77h; 15 USC 77j; 15 USC 77s (a); 15 USC 77aa (25) and (26); 15 USC 781; 15 USC 78n; 15 USC 78o(d); 15 USC 78w (a); 15 USC 79c (b); 15 USC 79n; 15 USC 79t (a); 15 USC 80a-8; 15 USC 80a-29

CFR Citation: 17 CFR 229; 17 CFR 249

Legal Deadline: None

Abstract: The Commission has proposed rules to reduce the time period for a registrant to file a Form S-K announcing a change in its certifying accountant or the resignation of a director from fifteen to five calendar days. It has also proposed amendments to Regulation S-K relating to a change in a registrant's certifying accountant to (1) reduce the time period from thirty to ten calendar days for the filing of the former accountant's letter as an exhibit to the report or registration statement announcing the change in accountants (2) require the registrant to file any such letter within two days of receipt, and (3) permit the former accountant to provide an interim letter to the registrant, which must also be filled by the registrant within two days of receipt.

Timetable:

Action	Date	FR Cite
NPRM	04/12/88	53 FR 12948
NPRM Comment Period End	10/30/88	53 FR 12948
Final Action	12/31/88	

Small Entities Affected: None

Government Levels Affected: None

Agency Contact: John M. Riley, Staff Accountant, Securities and Exchange Commission, Office of the Chief Accountant, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2130

RIN: 3235–AD30

3942. ● TECHNICAL AMENDMENTS TO REGULATION S-X

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77h; 15 USC 77j; 15 USC 77s (a); 15 USC 77aa (25) and (26); 15 USC 781; 15 USC 78n; 15 USC 78o (d); 15 USC 78w (a); 15 USC 79 (c) (b); 15 USC 79n; 15 USC 79 (t)a; 15 USC 80a-8; 15 USC 80a-29

CFR Citation: 17 CFR 210

Legal Deadline: None

Abstract: The staff is considering whether to recommend that the Commission propose amendments to Regulation S-X to conform that regulation to recently adopted changes in generally accepted accounting principles and generally accepted auditing standards.

Timetable:

Action	Date	FR Cite
NPRM	10/28/88	

Small Entities Affected: None

Government Levels Affected: None

Agency Contact: Teresa Iannaconi, Staff Accountant, Securities and Exchange Commission, Office of the Chief Accountant, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2130

RIN: 3235–AD32

Disclosure Rules

3943. REPORTS OF DIRECTORS, OFFICERS AND PRINCIPAL STOCKHOLDERS

Legal Authority: 15 USC 78m(d); 15 USC 78p(a); 15 USC 78p(b); 15 USC 78p(c); 15 USC 78p(e); 15 USC 78w(a)

CFR Citation: 17 CFR 240.16a-1 to 240.16a-11; 17 CFR 240.16b-1 to 240.16b-11; 17 CFR 240.16c-1 to 240.16c-3; 17 CFR 240.16e-1; 17 CFR 240.13d-3; 17 CFR 240.14d-1; 17 CFR 229.403; 17 CFR 249.103; 17 CFR 249.104; 17 CFR 240.12h-2

Legal Deadline: None

Abstract: The Commission will review the existing rules and reporting forms intended to implement the provisions of Section 16 of the Securities Exchange Act. Section 16 seeks to deter misuse of inside information by imposing certain periodic and transactional reporting requirements on the officers, directors and principal beneficial shareholders of companies registered under that Act as well as certain limitations on equity transactions by those persons. Over the years the Commission has adopted a number of rules to clarify the applicability of Section 16's requirements to particular circumstances. The Commission will examine their current suitability in light of the purposes of the statute.

Timetable:

Action	Date	FR Cite
Next Action Undetermined		

Small Entities Affected: Businesses

Government Levels Affected: None

Additional Information: ABSTRACT CONT: The Commission believes that

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these actions will result in savings to persons subject to these provisions with no reduction in investor protection. This initiative is a consolidation of five projects that were previously listed separately in the October 1983 agenda.

Agency Contact: Brian J. Lane, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, DC 20549, 202 272-2589

RIN: 3235–AB14

3944. FORM S-8 REGISTRATION STATEMENT UNDER THE SECURITIES ACT OF 1933

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77j; 15 USC 77s(a); 15 USC 78l; 15 USC 78m; 15 USC 78n; 15 USC 78w(a)

CFR Citation: 17 CFR 239.16b

Legal Deadline: None

Abstract: The Commission will consider whether to revise the disclosure requirements under the federal securities laws relating to registration under the Securities Act of 1933 of securities to be offered to employees of an issuer pursuant to certain plans. Such registration currently is made on Form S-8 (17 CFR 239.16b). The Commission staff is developing proposals in this area and considering alternative approaches to the problem of reducing burdens while ensuring the availability of sufficient information to employees, particularly where they already have access to much of the required information under ERISA. In the context of this rulemaking, Form S-8 will be fully reviewed for purposes of the Regulatory Flexibility Act.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Larisa Dobriansky, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AB79

3945. RULEMAKING FOR OPERATIONAL EDGAR SYSTEM

Significance: Agency Priority

Legal Authority: 15 USC 77a to 77aa; 15 USC 78a to 78ii; 15 USC 79 to 79z-6; 15 USC 77aaa to 77bbb; 15 USC 80a-1 to 80a-52

CFR Citation: Not yet determined

Legal Deadline: None

Abstract: This rulemaking encompasses the changes necessary to mandate and accommodate electronic filing in the operational Edgar system, as well as to update the rules to take advantage of the efficiencies of electronic filing and processing.

Timetable:

Action	Date	FR Cite
ANPRM	07/02/86	51 FR 24155
ANPRM Comment Period End	09/05/86	
NPRM	11/30/88	
NPRM Comment Period End	01/31/89	
Final Action	04/30/89	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Sarah A. Miller, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AC48

3946. RULE 153 DEFINITION OF PRECEDED BY A PROSPECTUS AS USED IN SECTION 5(B)(2) IN RELATION TO CERTAIN TRANSACTIONS

Legal Authority: 15 USC 77e

CFR Citation: 17 CFR 230.

Legal Deadline: None

Abstract: The prospectus delivery requirement for certain transactions effectuated on a national securities exchange may be satisfied by delivery to the exchange. The Commission will consider whether this procedure should be available for certain transactions on the NASDAQ Inter Dealer Quotation System.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: John Reynolds, Special Counsel, Office of Small Business Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2644

RIN: 3235–AC61

3947. FACILITATION OF MULTINATIONAL SECURITIES OFFERINGS

Legal Authority: 15 USC 77e; 15 USC 77f; 15 USC 77g; 15 USC 77j; 15 USC 77s(a); 15 USC 77ddd; 15 USC 77eee; 15 USC 77fff; 15 USC 78c(b); 15 USC 78j; 15 USC 78l; 15 USC 78m; 15 USC 78w; 15 USC 78x

CFR Citation: 17 CFR 210; 17 CFR 230; 17 CFR 239; 17 CFR 240; 17 CFR 249; 17 CFR 260

Legal Deadline: None

Abstract: In order to facilitate simultaneous multinational securities offerings among, initially, the United States, Canada and the United Kingdom, appropriate criteria are being sought to reconcile differences in disclosure standards, financial statement requirements and distribution systems. The Commission issued a concept release in February 1985 addressing numerous regulatory issues raised by multinational offerings. At that time, the Commission published for comment two conceptual approaches to facilitating such offerings--a "common prospectus" approach and a "reciprocal" approach. The Commission's staff is currently in the process of developing the reciprocal prospectus approach, which involves reciprocal recognition and use of home country disclosure documents. It is likely that initially the proposal will focus on debt offerings of certain issuers, limited rights offerings and exchange offers.

Timetable:

Action	Date	FR Cite
ANPRM	02/28/85	50 FR 9281
ANPRM Comment Period End	07/15/85	

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Samuel Wolff, Special Counsel, Office of International Corporate Finance, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-3246

RIN: 3235–AC64

3948. PROPOSED RULE FOR LIMITED RESALES OF SECURITIES

Legal Authority: 15 USC 77d (1); 15 USC 77d (3); 15 USC 77s(a)

CFR Citation: 17 CFR 230.144A

Legal Deadline: None

Abstract: The staff is considering whether to recommend that the Commission publish for comment two alternative versions of proposed new rule that would provide a safe harbor exemption from the registration requirements of the Securities Act of 1933 for resales of securities to institutional investors if certain conditions are met. The first version would require that the issuer of such securities be a reporting company, while the second version would be available for resales of securities, of reporting or non-reporting companies, if certain conditions are met.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Samuel Wolff, Special Counsel, Office of Chief Counsel, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-3246

RIN: 3235–AC65

3949. CLASSIFICATION OF SMALL ISSUERS FOR REPORTING PURPOSES

Legal Authority: 15 USC 78l; 15 USC 78m

CFR Citation: 17 CFR 230; 17 CFR 240; 17 CFR 244; 17 CFR 260

Legal Deadline: None

Abstract: Other appropriate criteria are being sought to establish the threshold level for companies to enter into the Securities Exchange Act of 1934 reporting system, which would complement or be substituted for the present size criteria of 500 shareholders and total assets of $5 million.

Timetable:

Action	Date	FR Cite
ANPRM	07/08/86	51 FR 25369
ANPRM Comment Period End	09/30/86	
NPRM	11/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Richard K. Wulff, Chief, Office of Small Business Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2644

RIN: 3235–AC66

3950. TWO-TIER REAL ESTATE COMPANIES

Legal Authority: 15 USC 80a-6(c)

CFR Citation: 17 CFR 270.3a-7; 17 CFR 270.6c-11

Legal Deadline: None

Abstract: The regulation will be designed to codify numerous exemptions from the provisions of the Investment Company Act of 1940 ("Act") granted to two-tier real estate limited partnerships. Exemptions from the Act pursuant to Section 6(c) of the Act have generally been granted where: 1) the two-tier partnership invests in limited partnerships engaged in the development and building of housing for low and moderate income persons; 2) the limited partnership interests are sold only to suitable investors; and 3) requirements for fair dealing by the general partner of the issuer with the limited partners of the issuer are included in the basic organizational documents of the partnership. The regulation will reduce the number of exemptive relief applications received by the Office of Investment Company Regulation requesting exemptions for two-tier real estate limited partnerships.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2048

RIN: 3235–AC84

3951. RULE 17F-5 UNDER THE INVESTMENT COMPANY ACT OF 1940

Legal Authority: 15 USC 80a-17(f); 15 USC 80a-6(c); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.17f-5

Legal Deadline: None

Abstract: Rule 17f-5 permits U.S. registered Investment Companies to maintain certain Securities and other assets in the custody of an "Eligible Foreign Custodian," as that term is defined in the rule. In response to comments that the present definition of Eligible Foreign Custodian and other provisions of the rule are too restrictive, the Commission is considering whether to propose amendments to the rule.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: Rochelle G. Kauffman, Staff Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2046

RIN: 3235–AC85

3952. MANAGEMENT'S DISCUSSION AND ANALYSIS OF FINANCIAL CONDITION AND OPERATIONS

Legal Authority: 15 USC 78w(a)

CFR Citation: 17 CFR 229.303

Legal Deadline: None

Abstract: The Commission has solicited public comment on issues relating to Management's Discussion and Analysis of Financial Condition and Operations as required by Item 303 of Regulation S-K. This requirement is the subject of recommendations from members of the accounting profession calling for a more specific approach to requiring disclosure of business risks and uncertainties, as well as additional board of director scrutiny and independent auditor association with these disclosures. The Commission will review comments received to determine whether future rulemaking is appropriate.

Timetable:

Action	Date	FR Cite
ANPRM	04/24/87	52 FR 13715
ANPRM Comment Period End	06/23/87	

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Brian J. Lane, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D. C. 20549, 202 272-2589

RIN: 3235–AD03

3953. SECTION 16(A) COMPLIANCE

Legal Authority: 15 USC 78p

CFR Citation: 17 CFR 230.144; 17 CFR 239.300; 17 CFR 240.16a-1; 17 CFR 249.103; 17 CFR 249.104; 17 CFR 249.308a; 17 CFR 249.310

Legal Deadline: None

Abstract: The Commission has perceived substantial non-compliance with Section 16(a) of the Securities Exchange Act of 1934. To address the problem, the Commission is considering proposing rules to insure that required information is disclosed, either by the reporting person or the registered companies.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: Brian J. Lane, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th St., N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AD04

3954. REGULATION 13D-G

Significance: Agency Priority

Legal Authority: 15 USC 78m(d); 15 USC 78m(g); 15 USC 78m(a)

CFR Citation: 17 CFR 240.13d-1; 17 CFR 240.13d-2

Legal Deadline: None

Abstract: The Commission will consider proposing revisions of Regulation 13D-G to close certain disclosure gaps, to make the disclosure more meaningful and to broaden the pool of persons allowed to use the short-form beneficial ownership report on Schedule 13G so as to lessen the costs and burdens of compliance.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: None

Agency Contact: David A. Sirignano, Chief, Office of Tender Offers, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-3097

RIN: 3235–AD09

3955. COMMUNICATIONS NOT DEEMED A PROSPECTUS

Legal Authority: 15 USC 77b; 15 USC 77s

CFR Citation: 17 CFR 230.134

Legal Deadline: None

Abstract: The Commission will consider proposing amendments to Rule 134 of the Commission's rules and regulations under the Securities Act of 1933 that would permit direct participation programs such as state limited partnerships to include additional information in their Rule 134 tombstone advertisements.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: William E. Morley, Chief Counsel, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2573

RIN: 3235–AD22

3956. DISCLOSURE OF BLOCK REPURCHASES BY AN ISSUE OR AFFILIATE

Legal Authority: 15 USC 78m; 15 USC 78w(a)

CFR Citation: 17 CFR 240; 17 CFR 249

Legal Deadline: None

Abstract: The staff is developing proposals to require either pre - or post transactional disclosure of issuer or affiliate repurchases of securities of the issuer over a certain threshold percentage. The staff has yet to determine the appropriate percentage level.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Sarah Miller, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AD25

Securities Markets and Securities Industry Rules

3957. PROPOSED RULE 10B-21 OF THE SECURITIES EXCHANGE ACT OF 1934 - SHORT SALES IN CONNECTION WITH A PUBLIC OFFERING

Legal Authority: 15 USC 78b; 15 USC 78c; 15 USC 78i(a)(6); 15 USC 78j(a); 15 USC 78j(b); 15 USC 78o(c); 15 USC 78w(a); 15 USC 78dd(a)

CFR Citation: 17 CFR 240.10b-21

Legal Deadline: None

Abstract: Proposed Rule 10b-21 would prohibit a person who effects short sales of an equity security during the period between the filing of a registration statement relating to the same class of equity securities and the commencement of the public offering of such equity securities from covering such short sales with securities purchased from an underwriter or broker or dealer participating in the public offering of such equity securities. The proposed rule is designed to prevent manipulative short selling by market participants in anticipation of underwritten public offerings.

Timetable:

Action	Date	FR Cite
NPRM	05/20/87	52 FR 102
NPRM Comment Period End	07/27/87	

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Nancy J. Burke, Branch Chief, Securities and Exchange Commission, Division of Market Regulation, 450 Fifth St., N.W., Washington, D.C. 20549, 202 272-2880

RIN: 3235–AC95

3958. ● SHAREHOLDER LISTS

Legal Authority: 15 USC 78n; 15 USC 78w(a)

CFR Citation: 17 CFR 240.14a; 17 CFR 240.14d

Legal Deadline: None

Abstract: The Commission staff is developing proposals to amend the proxy and tender offer rules to give a security holder the right, under specified circumstances, to obtain a list of the names, addresses and securities positions of certain of the registrant's shareholders.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: None

Agency Contact: Barbara J. Green, Attorney Fellow, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2509

RIN: 3235–AD41

3959. ● DISCLOSURE OF SIGNIFICANT EQUITY PARTICIPANTS IN CONTROL TRANSACTIONS

Legal Authority: 15 USC 78c(b); 15 USC 78m(d); 15 USC 78n; 15 USC 78v

CFR Citation: 17 CFR 240.14a-102; 17 CFR 240.13d-101; 17 CFR 240.13e-100; 17 CFR 240.14d-100

Legal Deadline: None

Abstract: The Commission staff is developing proposals that would require disclosure of a person with a significant equity interest in an entity affecting a control transaction.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Richard E. Baltz, Special Counsel, Office of Tender Offers, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-3097

RIN: 3235–AD42

3960. ● LOCK-BOX RULES

Legal Authority: 15 USC 77s(a); 15 USC 78w(a)

CFR Citation: 17 CFR 230.112; 17 CFR 240.

Legal Deadline: None

Abstract: The Commission staff is developing proposals that would address procedures regarding payment of fees to the lock-boxes designated at 17 CFR 202.3a with respect to 1933 Act filings and 1934 Act change of control transactional filings.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Anne M. Krauskopf, Special Counsel, Office of Chief Counsel, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2573

RIN: 3235–AD43

3961. ● RULE 801

Significance: Agency Priority

Legal Authority: 15 USC 77c(b); 15 USC 77s

CFR Citation: 17 CFR 801.

Legal Deadline: None

Abstract: The Commission staff is developing proposals that would provide an exemption from the registration requirements of the Securities Act of 1933 for certain rights offerings to the existing securityholders of non-reporting issuers.

Timetable:

Action	Date	FR Cite
NPRM	11/01/88	

Small Entities Affected: Businesses

Government Levels Affected: Federal

Agency Contact: Johnathan Gottlieb, Attorney Fellow, Office of Small Business Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2644

RIN: 3235–AD44

Investment Management Rules

3962. AMENDMENT TO RULE 180 – EXEMPTION FROM REGISTRATION OF CERTAIN INTERESTS AND PARTICIPATIONS IN CERTAIN H.R. 10 PLANS

Legal Authority: 15 USC 77c(a)(2); 15 USC 77s(a)

CFR Citation: 17 CFR 230.180

Legal Deadline: None

Abstract: Rule 180 provides an exemption from the registration requirements of the Securities Act for interests and participations issued in connection with certain qualified H.R. 10 plans. In order for interests in funding media issued to plans established by financially inexperienced employers to qualify for the rule's exemption, the rule, as adopted, requires those employers to obtain financial advice from an independent expert prior to adopting the H.R. 10 plan. Among other things, the Commission is considering proposing an amendment to Rule 180 that would codify a present "no-action" position regarding the situation where a financially unsophisticated employer has already established a plan for its employees without obtaining advice from an independent expert, and intends either to change the funding medium or add another funding medium to the choices already available to employees. The issuer of the funding medium in such a case would be in compliance with the rule if the issuer has reasonable grounds to believe and, after having made reasonable inquiry, does believe, that an independent financial expert reviewed the funding medium prior to the investment of the (cont)

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: ABSTRACT CONT: plan's assets in that funding medium. The type of amendment being considered would impose no additional compliance cost, and would increase the flexibility of existing plans and the number of investment choices available to participating employees.

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 Fifth Street, N. W. (Stop 5-2), Washington, DC 20549, 202 272-2048

RIN: 3235–AA08

3963. PROPOSED RULES 11A-3 AND 11C-1 UNDER THE INVESTMENT COMPANY ACT

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-11(a); 15 USC 80a-37

CFR Citation: 17 CFR 270.11a-3; 17 CFR 270.11c-1

Legal Deadline: None

Abstract: The proposed rules would exempt certain persons from the requirements of Section 11(a) of the Investment Company Act. That section prohibits any registered open-end investment company and its principal underwriter from making an offer to a shareholder to exchange his security for another security on any basis other than the relative net asset values of the respective securities to be exchanged, unless the terms have been submitted to and approved by the Commission or comply with rules the Commission may prescribe. Section 11(c) states in part that the terms of any offer of exchange involving the securities of registered unit investment trusts must also be submitted to and approved by the Commission or comply with rules the Commission may prescribe. Proposed rule 11a-3 would permit a mutual fund or its principal underwriter to make certain exchange offers to its own shareholders or to shareholders of another fund in the same family of funds. Proposed rule 11c-1 would permit a unit investment trust or its sponsor to make certain exchange offers to unit holders of the same series or another series of the same trust or to unit holders of another unit investment trust

Timetable:

Action	Date	FR Cite
NPRM	12/23/86	51 FR 47260
NPRM Comment Period End	03/31/87	

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Analysis: Regulatory Flexibility Analysis

Additional Information: ABSTRACT CONT: having the same sponsor. By codifying standards for a variety of exchanges, these proposed rules are intended to significantly reduce the number of exemptive applications filed with the Commission under Section 11.

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-2048

RIN: 3235–AA14

3964. MUTUAL FUND GOVERNANCE

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-37

CFR Citation: Not yet determined

Legal Deadline: None

Abstract: On December 10, 1982, the Commission issued an advance concept release (Investment Company Act Release No. 12888, (47 FR 56509)) soliciting public comment on whether the Commission should propose rules or recommend legislation which would provide for an alternative form of mutual fund governance. Specifically, this release requests comment on whether mutual funds should be exempted from shareholder voting and/or director requirements under the Investment Company Act of 1940 (the "Act") and, if so, whether conditions could be fashioned which would adequately insure against loss of investor protection. Although such changes might be effected through rulemaking, the Commission has indicated that, in its preliminary judgment, changes of this magnitude should be effected through legislative rather than administrative action. Since the costs and benefits of providing for an alternative scheme of mutual fund governance cannot be estimated at the present time, the release solicits specific comment on the costs and benefits which would result from such changes. Extension of comment period until April 18, 1983 was announced in Investment Company Act Release No. 13012 (cont)

Timetable:

Action	Date	FR Cite
ANPRM	12/10/82	47 FR 56509
Extended Comment Period to 4/18/83	02/07/83	48 FR 6354
ANPRM Comment Period End	04/18/83	48 FR 6354

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: ABSTRACT CONT: (February 7, 1983) 48 FR 6354.

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-2048

RIN: 3235–AA44

3965. RULE 17J-1 UNDER THE INVESTMENT COMPANY ACT OF 1940

Legal Authority: 15 USC 80a-17(j); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.17j-1

Legal Deadline: None

Abstract: Rule 17j-1 requires every access person of a registered investment company, or of an investment adviser of or principal underwriter for the investment company to report to the investment company certain of his securities transactions. The Commission is considering whether to propose an amendment to this rule which would reduce the reporting requirement for investment company directors who are interested persons with respect to the investment company by reason of their affiliation with a registered broker-dealer. Members of the industry have characterized these reporting requirements as unnecessarily burdensome in some instances. Any such rule amendment would have the effect of lessening the reporting requirements currently imposed by the rule. As a result, the staff believes that the costs, which should be insignificant, of complying with any amendment would be significantly less than the benefits it would provide. The Commission is also considering whether to amend Rule 12 j-1 to define specified acts as fraudulent, deceptive or manipulative or to require certain minimum standards to be set forth on a company's code of ethics. (con't)

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Ann P. Glickman, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-3042

RIN: 3235–AA68

3966. REVISION OF INVESTMENT COMPANY PROXY RULES

Legal Authority: 15 USC 78n; 15 USC 78w; 15 USC 80a-20; 15 USC 80a-37

CFR Citation: 17 CFR 240.14a-1 to 240.14a-102; 17 CFR 240.14b-1; 17 CFR 240.14c-1 to 240.14c-101; 17 CFR 270.20a-1; 17 CFR 270.20a-2; 17 CFR 270.20a-3

Legal Deadline: None

Abstract: Absent an exception, every solicitation of a proxy, authorization or consent in respect of any security with respect to which a registered investment company is the issuer, is subject to rules adopted pursuant to the Securities Exchange Act of 1934 and the Investment Company Act of 1940 concerning solicitations of proxies. Solicitations to which the rules apply may not commence unless each person solicited is furnished or has previously been furnished with a proxy statement containing specified information prepared in accordance with certain rules and the material has been filed with the Commission. The existing proxy rules were adopted in piecemeal fashion and have been the subject of frequent changes. This has led to certain duplicative and, in certain cases, complex requirements. To the extent that a proxy statement contains repetitive material or is overly complicated and difficult to read, it may not effectively perform its intended function of communicating meaningful information to security holders in order that they may make informed voting decisions. In order to update the proxy regulations and, in doing so, improve the (cont)

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: ABSTRACT CONT: readability of proxy statements and eliminate unnecessary disclosure costs, the Commission has commenced a comprehensive review of the proxy regulations as they relate to investment companies. There does not currently exist a basis upon which to quantify the reduced costs and burdens of such action on those registrants affected. Since the action will apply to all registered investment companies soliciting proxies, unless the solicitation is excepted, the Action is expected to have a significant impact on a substantial number of small entities. However, the contemplated revisions are still in the developmental stage and have not yet been formally proposed by the Commission. Thus, the extent of the revision actually proposed and the attendant reductions in costs and burdens are as yet largely unknown, but are anticipated to be significant.

Agency Contact: Dorothy M. Donohue, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-7317

RIN: 3235–AA69

3967. PROSPECTUS SIMPLIFICATION AMENDMENTS TO FORM N-2

Legal Authority: 15 USC 80a-8 Investment Company; 15 USC 77g Securities Act; 15 USC 77j Securities Act

CFR Citation: 17 CFR 239.14; 17 CFR 274.11a-1

Legal Deadline: None

Abstract: Form N-2 is the registration statement form under the Investment Company Act of 1940 and the Securities Act of 1933 for closed-end management investment companies other than small business investment companies and companies which issue periodic payment plan certificates or which are

sponsors or depositors of companies issuing such certificates. Included within the registration statement are the companies' prospectuses used in offering their securities to the public. The Commission believes a simplified prospectus is necessary because current prospectuses have become too cumbersome for the average investor to understand and because current requirements result in the disclosure of much information that is not necessarily material to an investment decision. Simplification will, therefore, make disclosure easier for investors to understand and reduce the costs and burdens of of preparing and distributing prospectuses. Accordingly, the Commission is proposing a new form N-2A that most likely would be structured as a three-part form, one part of which would be a new simplified prospectus. There does not currently exist (cont)

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: ABSTRACT CONT: a basis upon which to quantify the reduced costs and burdens of such action on those registrants affected. The contemplated amendments are still in the developmental stage and have not yet been formally proposed by the Commission. Thus, the extent of the simplification of investment companies' prospectuses actually proposed and the attendant reductions in costs and burdens are as yet largely unknown, but are expected to reduce the cost of registration for both the industry and government.

Agency Contact: Debra J. Kertzman, Attorney, Securities and Exchange Commission, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-2107

RIN: 3235–AB40

3968. METHOD FOR COMPLIANCE WITH SECTION 206(3) OF THE INVESTMENT ADVISERS ACT OF 1940 WITH RESPECT TO CERTAIN TRANSACTIONS

Legal Authority: 15 USC 80b-11(a)

CFR Citation: 17 CFR 275.206 (3)-3

Legal Deadline: None

Abstract: Section 206(3) of the Investment Advisers Act of 1940 makes it unlawful for any investment adviser, by use of the mail or any means or instrumentality of interstate commerce, directly or indirectly, knowingly to effect a securities transaction (a) with a client while acting as principal or (b) for a client while acting as broker for a person other than such client, without disclosing in writing to such client before the completion of the transaction the capacity on which he is acting and obtaining the consent of the client to the transaction. The Commission is considering whether to propose a rule that would provide a nonexclusive method for compliance with the provisions of Section 206(3) of the Investment Advisers Act of 1940 in connection with purchases of securities from an underwriting syndicate for an advisory client under specified conditions. Because the proposed rule is still in the developmental stages, its potential effect on small entities and its potential costs and benefits as a whole are unknown at this time.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: John McGuire, Attorney, Securities and Exchange Commission, Investment Management, 450 5th Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-2107

RIN: 3235–AB74

3969. PROPOSED RULE 3A-6 UNDER THE INVESTMENT COMPANY ACT(THE "ICA")

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.3a-6

Legal Deadline: None

Abstract: The Commission is considering whether to propose a rule that would provide exemptive relief from all provisions of the ICA to limited purpose finance subsidiaries that own or hold mortgage-backed securities. This would obviate the necessity of these subsidiaries filing applications for exemptive relief.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-2048

RIN: 3235–AC03

3970. ADVERTISING BY INVESTMENT ADVISERS

Legal Authority: 15 USC 80b-6 (4)

CFR Citation: 17 CFR 275.206 (4)-1

Legal Deadline: None

Abstract: Rule 206(4)-1 contains a wide range of restrictions on advertising by investment advisers including prohibitions on the use of testimonials. The rule was adopted in 1962 and has not been revised since. The Commission is considering whether to amend the rule in a manner which would permit greater flexibility to investment advisers in their advertising and protect the investing public from potential abuse. Because the proposed amendments to the rule are still in the developmental stages, the potential effect on small entities and its potential costs and benefits as a whole are uncertain at this time.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Robert E. Plaze, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-2098

RIN: 3235–AC09

3971. PROPOSED AMENDMENTS TO RULES 12B-1 AND 17D-3 UNDER THE INVESTMENT COMPANY ACT OF 1940, AND TO ITEM 7 OF FORM N-1A UNDER THE SECURITIES ACT OF 1933

Legal Authority: 15 USC 80a-12(b); 15 USC 80a-17(d); 15 USC 80a-39; 15 USC 77a, et seq.

CFR Citation: 17 CFR 270.12b-1; 17 CFR 270.17d-3; 17 CFR 239.15A

Legal Deadline: None

Abstract: The Commission has proposed for comment amendments to Rule 12b-1 under the Investment Company Act to redefine the Circumstances under which investment companies may finance distribution of fund assets. The Commission has also proposed amendments to Rule 17d-3 to allow affiliated investment companies to jointly finance distribution activities under certain conditions. Finally, the Commission has proposed amendments to Form N-1A which would require an additional disclosure to be made regarding the amount of payments under distribution plans.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Rochelle G. Kauffman, Staff Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-2048

RIN: 3235–AC11

3972. EXEMPTION OF ACQUISITION OF SECURITIES DURING THE EXISTENCE OF UNDERWRITING SYNDICATE

Legal Authority: 15 USC 80a-10(f); 15 USC 80a-37(a); 15 USC 80a-6(c)

CFR Citation: 17 CFR 270.10f-3

Legal Deadline: None

Abstract: The conditions in existing Rule 10f-3, which allow purchases from affiliated underwriters during the existence of an underwriting syndicate, may no longer be appropriate in today's financial markets. The Commission is investigating possible alternative provisions and soliciting comment on these alternatives.

Timetable:

Action	Date	FR Cite
ANPRM	01/29/86	51 FR 4386
ANPRM Comment Period End	04/07/86	51 FR 4386

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Ann M. Glickman, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 Fifth Street, NW (Stop 5-2), Washington, DC 20549, 202 272-3042

RIN: 3235–AC28

3973. PROPOSED RULE 12D3-2UNDER THE INVESTMENT COMPANY ACT

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-37

CFR Citation: 17 CFR 270. 12d3-2

Legal Deadline: None

Abstract: The Commission is considering whether to propose a rule that would set forth the conditions under which registered investment companies may engage in repurchase agreement transactions with persons engaged in securities related businesses.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Brian Kindelan, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 Fifth Street, N.W. (Stop 5-2), Washington, DC 20549, 202 272-2048

RIN: 3235–AC36

3974. ADVERTISING BY UNIT INVESTMENT TRUSTS

Legal Authority: 15 USC 77j; 15 USC 77s; 15 USC 80a-37(a)

CFR Citation: Not yet determined

Legal Deadline: None

Abstract: Currently unit investment trusts advertise their performance by means of an "estimated current return" which shows estimated cash flow. However, because there is no uniform method of computing the estimated current return, they cannot be compared by prospective investors. This rulemaking project will endeavor to create such a uniform method. A uniform method of computation will permit investors to make more informed investment decisions by enabling them to compare the performance of different trusts.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: Federal

Agency Contact: Diane C. Blizzard, Securities and Exchange Commission, Securities and Exchange Commission, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2107

RIN: 3235–AC70

3975. PROPOSED RULE 6C-10 UNDER THE INVESTMENT COMPANY ACT OF 1940

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-22(c); 15 USC 80a-37; 15 USC 80a-39

CFR Citation: 17 CFR 270.6c-10

Legal Deadline: None

Abstract: The Commission will consider whether to propose rule 6c-10 under the act to allow Investment Companies to charge deferred sales loads including contingent deferred sales loads under certain conditions. These actions would eliminate the need for Investment Companies to file applications for exemptive relief to impose deferred loads.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: Proposed rule 6c-10 was formerly included with the proposed amendments to rules 12b-1 and 17d-3 under the Investment Company Act. Proposed rule 6c-10 has been split from that entry to comprise a separate item on the agenda.

Agency Contact: Rochelle G. Kauffman, Staff Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D. C. 20549, 202 272-2048

RIN: 3235–AD18

3976. INFORMATION THAT BROKER-DEALERS MAY DISSEMINATE ABOUT INVESTMENT COMPANIES

Legal Authority: 15 USC 775(a)

CFR Citation: 17 CFR 230.139a

Legal Deadline: None

Abstract: The Commission is considering proposing a rule that would provide a safe harbor under Section 5 of the Securities Act of 1933 for certain broker-dealer publications that contain information about investment companies.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Diane C. Blizzard, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2107

RIN: 3235–AD20

3977. REVISIONS TO THE REGISTRATION AND THE ANNUAL SUPPLEMENT FORMS USED BY INVESTMENT ADVISERS

Legal Authority: 15 USC 78o(b)(1); 15 USC 78w(a); 15 USC 80b-3; 15 USC 80b-4; 15 USC 80b-6A; 15 USC 80b-11; 15 USC 80b-1

CFR Citation: 17 CFR 275.; 17 CFR 279.

Legal Deadline: None

Abstract: The Commission is considering a proposal that would revise the Amendment and updating requirements and procedures for an advisers registration form and annual report. The Commission would propose such revisions in order to facilitate the review of investment adviser registration forms and resolve certain administrative difficulties.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: John McGuire, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2107

RIN: 3235–AD21

3978. ● VARIABLE ANNUITY FEE TABLE

Legal Authority: 15 USC 77g; 15 USC 77j; 15 USC 77s; 15 USC 80a-8(b); 15 USC 80a-37a

CFR Citation: 17 CFR 239.17a; 17 CFR 274.11b; 17 CFR 239.17b; 17 CFR 274.11c; 17 CFR 239.15A; 17 CFR 274.11A

Legal Deadline: None

Abstract: The Commission is proposing to consolidate the expense data in a tabular presentation near the front of variable annuity prospectuses. The proposal is intended to improve the quality of expense disclosure in variable annuity prospectuses. The Commission is also eliminating a similar fee table requirement for management investment companies offering shares exclusively to separate accounts issuing variable annuity contracts.

Timetable:

Action	Date	FR Cite
NPRM	10/30/88	
Final Action	01/30/89	

Small Entities Affected: None

Government Levels Affected: None

Agency Contact: John McGuire, Staff Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2107

RIN: 3235–AD36

3979. ● DIVERSIFICATION BY EXEMPT HOLDING COMPANIES

Legal Authority: 15 USC 79c(a)(1); 15 USC 79t(a)

CFR Citation: 17 CFR 250.17; 17 CFR 250.2; 17 CFR 259.402

Legal Deadline: None

Abstract: Proposed Rule 17 clarifies under what conditions diversification into non-utility enterprises would not be deemed detrimental to the public interest or the interest of investors or consumers within the meaning of the "unless and except" clause of S3(a)(1) of the Public Utility Holding Company Act of 1935. The rule would provide two alternative "safe harbors". A companion proposed amendment to rule 2 under the Act would require after three years from the proposal date, claims of exemption under rule 2, in order to be effective, would require that the claimant meet one of the safe harbor provisions of rule 17. Also proposed is an amendment to Form U-3A-2, the statement filed annually by holding companies claiming exemptions under rule 2, that would request information necessary to determine whether a rule 2 claim of exemption by an intrastate holding company was meritorious in light of the requirement added to rule 2. These proposals could significantly increase regulatory compliance costs for those intrastate public utility holding companies that have operations,or that intend to do so. The proposals could require such a company to forego acquisition of an unrelated non-utility

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: None

Additional Information: ABSTRACT (con't) interest or to divest such an interest previously acquired; or alternatively, to seek enactment by the legislature in its states of organization of a unified comprehensive utility holding company statute that addresses diversification activities.

Agency Contact: William C. Weeden, Assistant Director, Securities and Exchange Commission, Division of Investment Management, 450 5th Street,

N.W., Washington, D.C. 20549, 202 272-7003

RIN: 3235–AD39

SECURITIES AND EXCHANGE COMMISSION (SEC) — Final Rule Stage

Accounting Rules

3980. PROPOSALS REGARDING INDUSTRY SEGMENT AND OTHER INTERIM FINANCIAL REPORTING MATTERS, MANAGEMENT'S DISCUSSION AND ANALYSIS, AND OFF BALANCE SHEET FINANCING DISCLOSURES

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77h; 15 USC 77j; 15 USC 77s(a); 15 USC 77aa (25) to 77aa(26); 15 USC 78l; 15 USC 78m; 15 USC 78o(d); 15 USC 78w(a); 15 USC 79e(b); 15 USC 79n; 15 USC 79t(a); 15 USC 80a-8; 15 USC 80-29

CFR Citation: 17 CFR 210.5-02; 17 CFR 210.10-01; 17 CFR 210.11-02; 17 CFR 229.303

Legal Deadline: None

Abstract: The Commission proposed amendments to require (1) presentation of certain industry segment information for interim periods; (2) a discussion of reportable segments in management's discussion and analysis; and (3) modifications of other miscellaneous interim reporting requirements. The release also provides advance notice of possible future rulemaking regarding (1) additional segment reporting disclosures and (2) uniform disclosure of off balance sheet financing arrangements. The proposals are designed to enhance analysis of financial information. They may entail some new recordkeeping but any such costs have not been determined. The Commission's interim reporting rules will be reviewed as a part of this action.

Timetable:

Action	Date	FR Cite
NPRM	02/15/84	49 FR 6737
NPRM Comment Period End	05/15/84	

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: This entry replaces the following three entries from the October 1983 agenda. RIN 3235-AA53 -- Off Balance Sheet Obligations. RIN 3235-AA54 -- Segment Information. RIN 3235-AA55 -- Quarterly Financial Reporting.

Agency Contact: John W. Albert, Assistant Chief Accountant, Securities and Exchange Commission, 450 5th Street, NW, Washington, DC 20549, 202 272-2130

RIN: 3235–AB15

Disclosure Rules

3981. ACQUISITIONS OF SUBSTANTIAL AMOUNTS OF SECURITIES AND RELATED ACTIVITIES DURING AND FOLLOWING A TENDER OFFER FOR THOSE SECURITIES

Legal Authority: 15 USC 78c(b); 15 USC 78m(e); 15 USC 78n(d); 15 USC 78w(a); 15 USC 78o(c); 15 USC 78t(b)

CFR Citation: 17 CFR 240.13e-2; 17 CFR 240.14d-11

Legal Deadline: None

Abstract: The Commission is proposing Rules 13e-2 and 14d-11 that would require that, subject to certain exceptions, purchases, offers to purchase, arrangements or understandings to purchase and solicitations of offers to sell securities undertaken during and shortly after a tender offer that would increase any person's ownership of the class of securities subject to the tender offer by 10% or more of the class be made in compliance with the statutory provisions and rules applicable to tender offers. The proposed rules would apply to all persons from the formal commencement of a tender offer until 10 business days after the scheduled expiration date. A proposed rule, also, would subject a bidder to the same requirements from the time it commenced a tender offer by public announcement until it either formally commenced a tender offer by some other means or 30 business days after it made a subsequent public announcement (cont)

Timetable:

Action	Date	FR Cite
ANPRM	07/31/86	51 FR 28096
ANPRM Comment Period End	12/01/86	
NPRM	10/01/87	52 FR 37492
NPRM Comment Period End	12/07/87	

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: ABSTRACT CONT:stating that it had determined not to continue with the tender offer.

Agency Contact: David A. Sirignano, Chief, Office of Tender Offers, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, DC 20549, 202 272-3097

RIN: 3235–AA50

3982. INDEPENDENT ACCOUNTANTS - MANDATORY PEER REVIEW

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77h; 15 USC 77j; 15 USC 77s(a); 15 USC 77aa (25) to 77aa(26); 15 USC 78l; 15 USC 78m; 15 USC 78o(d); 15 USC 78w(a); 15 USC 79e(b); 15 USC 79n; 15 USC 79t(a); 15 USC 80a-8; 15 USC 80a-29

CFR Citation: 17 CFR 210

Legal Deadline: None

Abstract: The Commission has proposed amendments to its rules that would require accountants' reports included in Commission filings be signed by an independent accountant who has undergone a peer review of its accounting and audit practice within the past three years.

Timetable:

Action	Date	FR Cite
NPRM	04/01/87	52 FR 11665
NPRM Comment Period End	09/01/87	52 FR 11665
Final Action	12/31/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Robert Burns, Chief Counsel, Securities and Exchange Commission, Office of the Chief Accountant, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2130

RIN: 3235–AC79

3983. PROSPECTUS DELIVERY REQUIREMENTS IN FIRM COMMITMENT UNDERWRITTEN OFFERINGS OF SECURITIES MADE FOR CASH (RULE 433)

Legal Authority: 15 USC 77b (10); 15 USC 77s(a); 15 USC 77j(a)(4); 15 USC 77j(d)

CFR Citation: 17 CFR 230.433

Legal Deadline: None

Abstract: The Commission proposed two alternative versions of a new Rule 433 that would provide a safe harbor from the requirement to deliver a final prospectus prior to or contemporaneously with a confirmation of sale in a firm commitment offering of securities for cash. Both proposals would permit, if all conditions of the rule are satisfied, the sending of a final prospectus no later than five business days after a confirmation of sale is sent to an investor in such an offering.

Timetable:

Action	Date	FR Cite
NPRM	08/06/87	52 FR 29206
NPRM Comment Period End	10/05/87	

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: Sarah A. Miller, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AC80

3984. REPORTING REQUIREMENTS FOR CHANGE IN FISCAL YEAR END

Legal Authority: 15 USC 77g; 15 USC 77s(a); 15 USC 78m; 15 USC 78n; 15 USC 78o(d); 15 USC 78w(a); 15 USC 80a-8; 15 USC 80a-29; 15 USC 80a-37

CFR Citation: 17 CFR 240.12b-25; 17 CFR 240.13a-10; 17 CFR 240.13a-13; 17 CFR 240.14a-3; 17 CFR 240.15d-10; 17 CFR 240.15d-13; 17 CFR 249.308; 17 CFR 249.310; 17 CFR 249.308a; 17 CFR 249.322; 17 CFR 210.3-12; 17 CFR 270.8b-16; 17 CFR 270. 30b1-2; 17 CFR 274.101

Legal Deadline: None

Abstract: The Commission is proposing amendments to Regulations 13A and 15D under the Securities Exchange Act of 1934 that would revise the reporting and filing requirements for an issuer that changes its fiscal year end and for a successor issuer with a different fiscal year end from its predecessor. The Commission also is proposing amendments to Form 8-K to require reporting of a change in fiscal year and a new Rule 30b1-3 under the Investment Company Act of 1940 to govern the reporting requirements for investment companies that change their fiscal year end. The proposed amendments are intended to update and clarify the requirements for companies that change their fiscal year end. In addition, the Commission is proposing a new account accounting Rule 3-06 and other amendments to the accounting and proxy rules relating to financial reporting. Amendments to the quarterly reporting rules are proposed to modify the period covered in a new registrant's first quarterly report.

Timetable:

Action	Date	FR Cite
NPRM	06/02/88	53 FR 21670
NPRM Comment Period End	08/08/88	

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: Federal

Agency Contact: Barbara J. Green, Attorney Fellow, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AD05

3985. REGULATION S - RULES GOVERNING OFFERS AND SALES MADE OUTSIDE THE UNITED STATES WITHOUT REGISTRATION UNDER THE SECURITIES ACT OF 1933

Legal Authority: 15 USC 77b; 15 USC 77d; 15 USC 77s

CFR Citation: 17 CFR 230.901-906

Legal Deadline: None

Abstract: The extraterritorial reach of Section 5 of the Securities Act of 1933 has become of critical importance with the development of major markets abroad and the growth of transnational investment. As a result of these developments, the Commission has published for comment proposed Regulations intended to clarify the extraterritorial application of the registration provisions of the Securities Act of 1933. The Regulation would provide generally that any offer or sale that occurs outside the United States is not subject to Section 5.

Timetable:

Action	Date	FR Cite
NPRM	06/10/88	53 FR 53226
NPRM Comment Period End	09/15/88	

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: Federal

Agency Contact: Samuel Wolff, Special Counsel, Office of International Corporate Finance, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-3246

RIN: 3235–AD23

3986. AUTOMATICALLY EFFECTIVE POST -EFFECTIVE AMENDMENTS FOR ACQUISITIONS BY CERTAIN LIMITED PARTNERSHIPS

Significance: Agency Priority

Legal Authority: 15 USC 77b(c); 15 USC 77s; 15 USC 77g; 15 USC 77h; 15 USC 77j; 15 USC 77o

CFR Citation: 17 CFR 230.465; 17 CFR 230.424; 17 CFR 229.424; 17 CFR 229.801(c); 17 CFR 230.406

Legal Deadline: None

Abstract: The Commission is proposing for comment two alternative forms of a new Rule 465 that would provide for the automatic effectiveness of post-

effective amendments filed by limited partnerships during the distribution period, provided that such amendments relate to significant acquisitions and contain required financial statements, financial information and textual information.

Timetable:

Action	Date	FR Cite
NPRM	07/08/88	53 FR 26718
NPRM Comment Period End	09/12/88	

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: Sarah Miller, Special Counsel, Office of Disclosure Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2589

RIN: 3235–AD24

3987. ● EXEMPTION OF CERTAIN FOREIGN BROKERS OR DEALERS

Significance: Agency Priority

Legal Authority: 15 USC 78c; 15 USC 78j; 15 USC 78o; 15 USC 78q; 15 USC 78w; 15 USC 78dd

CFR Citation: 17 CFR 240.15a-6

Legal Deadline: None

Abstract: Proposed Rule 15a-6 is the Commission's response to the cross-border activities of foreign broker-dealer registration requirements. The proposed rule would exempt from these requirements foreign entities that engage in securities transactions with certain non-U.S. persons, or with specified U.S. institutional investors under certain limited conditions. The staff believes that this alternative is superior to relying on the interpretive process, since the internationalization of the world's securities markets has increased greatly the number of requests for interpretive advice received by the staff. The Commission believes that, to the extent that the proposed rule, if adopted, would impose any costs on registered broker-dealer affiliates of eligible foreign broker-dealers of have a competitive effect on other domestic broker-dealers, those costs are not significant and would not impact on a substantial number of small domestic broker-dealers; also, the exemption under the rule would be limited to foreign broker-dealers, which need not be considered under 5 USC 605.

Timetable:

Action	Date	FR Cite
NPRM	06/14/88	53 FR 23645
NPRM Comment Period End	09/15/88	

Next Action Undetermined

Small Entities Affected: None

Government Levels Affected: None

Agency Contact: John Polanin, Jr., Attorney, Office of ChiefCounsel, Division of Market Regulation, Securities and Exchange Commission, 450 Fifth Street N.W., Mail Stop 5-1, Washington, D.C. 20549, 202 272-2848

RIN: 3235–AD27

Securities Markets and Securities Industry Rules

3988. ● REGULATION D

Significance: Agency Priority

Legal Authority: 15 USC 77b (15); 15 USC 77c(b); 15 USC 77d (2); 15 USC 77s

CFR Citation: 17 CFR 215.; 17 CFR 501.; 50 CFR 502.; 17 CFR 507.; 17 CFR 508.

Legal Deadline: None

Abstract: The Commission is proposing revisions to Regulation D that would add certain governmental employee benefit plans to the lists of accredited investors. Certain conditions to the Regulation D exemptions would be eliminated. A disqualification provision would preclude the future use of Regulation D by issuers found to have violated the filing requirements of the Regulation. Finally, insignificant deviations from the technical requirements of the Regulation would not cause the loss of the Regulation D exemption if there had been a good faith and reasonable attempt to comply with the Regulation.

Timetable:

Action	Date	FR Cite
NPRM	03/10/88	53 FR 7870
NPRM Comment Period End	05/13/88	
Final Action	11/01/88	

Small Entities Affected: Businesses

Government Levels Affected: Local

Agency Contact: John Reynolds, Special Counsel, Office of Small Business Policy, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2644

RIN: 3235–AD45

Investment Management Rules

3989. PROPOSED RULE 3A-4 – INDIVIDUALIZED INVESTMENT MANAGEMENT SERVICES

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.3a-4

Legal Deadline: None

Abstract: In Investment Company Act Release No. 11391 (October 10, 1980) (45 FR 69479) the Commission proposed for public comment Rule 3a-4, which would deem investment management services providing their clients with individualized treatment not to be investment companies for purposes of the Act. The rule provides a "safe harbor" for any investment manager providing its clients with treatment based on the needs and goals of each client. Under such circumstances, regulation of investment management services under the Act appears unnecessary. The proposed rule was intended to clarify the Commission's position on the question of "mini-accounts" by providing a safe harbor for certain investment management services and thereby provide some certainty to the public. The Commission does not expect any final action taken on the proposal to significantly affect the cost of providing investment management services. The public comment letters on the proposal have been reviewed and alternatives for final action are being considered.

Timetable:

Action	Date	FR Cite
NPRM	10/10/80	45 FR 69479
NPRM Comment Period End	01/31/81	45 FR 69479

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: NPRM in Release No. IC-11391 (10/10/80)

Agency Contact: Brian P. Kindelan, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-2048

RIN: 3235–AA12

3990. PROPOSED AMENDMENT TO RULE 17G-1 UNDER THE INVESTMENT COMPANY ACT

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-17(g); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.17g-1

Legal Deadline: None

Abstract: The Commission is considering whether to adopt an amendment to Rule 17g-1 under the Investment Company Act. The amendment was proposed for public comment in Investment Company Act Release No. 11193 (June 2, 1980) (45 FR 38407). Rule 17g-1 requires every registered investment company to provide and maintain a bond against larceny and embezzlement covering officers and employees of the company. In some circumstances, the officers and employees of a company's depositor, trustee, investment adviser or other manager and various affiliates of such persons, because they have access to the company's assets, function as officers and employees of the investment company. The proposed amendment to the rule would clarify the scope of the rule by explicitly requiring the bonding of such persons. The principal cost associated with this rule would be the cost of a bond. That cost would vary according to the persons required to be bonded by the rule. In this regard, before adopting any amendment to the rule, the Commission will carefully consider what persons should be bonded to protect investors adequately, weighing the benefits of the protection against the cost of a bond.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Ann M. Glickman, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-3042

RIN: 3235–AA16

3991. SIMPLIFICATION OF REGISTRATION STATEMENTS FILED BY UNIT INVESTMENT TRUSTS

Legal Authority: 15 USC 80a-8; 15 USC 77g; 15 USC 77j

CFR Citation: 17 CFR 239.16; 17 CFR 274.12

Legal Deadline: None

Abstract: On March 9, 1987, the Commission reproposed for public comment Form N-7, a new form for registering unit investment trusts("VITS") and their securities under the Investment Company Act of 1940 and the Securities Act of 1933. Form N-7 was originally proposed by the Commission on May 14, 1985. Adoption of Form N-7 would (i) codify the disclosure requirements for VITS into one form; (ii) codify the disclosure standards that have been developed for VITS; and (iii) shorten and simplify the prospectus used in connection with the sale of units in both the initial offering and in the secondary market maintained by the sponsor. As reproposed, a one-part prospectus originally proposed, but the prospectus would retain a series specific part and a generic part. The requirement for audited financial statements would be eliminated under certain circumstances. The requirement that registrants include certain third party financial statements in the registration statement would be extended to insurers as well as guarantors of portfolio securities of the trust under the reproposal.

Timetable:

Action	Date	FR Cite
NPRM	05/23/85	
NPRM Comment Period End	12/31/87	50 FR 21282

Next Action Undetermined

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Additional Information: ABSTRACT CONT:

Agency Contact: Diane C. Blizzard, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, NW (Stop 5-2), Washington, DC 20549, 202 272-3040

RIN: 3235–AA47

3992. REGISTRATION UNDER THE SECURITIES ACT OF 1933 OF AN INDEFINITE NUMBER OF CERTAIN INVESTMENT COMPANY SECURITIES

Legal Authority: 15 USC 80a-37; 15 USC 80a-24

CFR Citation: 17 CFR 270.24f-3

Legal Deadline: None

Abstract: On March 9, 1987, the Commission published for public comment a new rule 24f-3 under the Investment Company Act of 1940 that would simplify filing requirements under section 24(f) of the Investment Company Act by allowing a unit investment trust to register an indefinite number of securities solely for secondary market purposes and to pay no registration fee on secondary market sales. The Commission is considering whether to adopt such amendments.

Timetable:

Action	Date	FR Cite
NPRM	05/15/87	
Final Action	12/31/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Diane C. Blizzard, Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-2107

RIN: 3235–AC10

3993. DISCLOSURE OF SECURITY RATINGS IN REGISTRATION STATEMENTS OF MONEY MARKET FUNDS

Legal Authority: 15 USC 77(g); 15 USC 77(i); 15 USC 77(s) (a)

CFR Citation: 17 CFR 230.134; 17 CFR 230.436; 17 CFR 230.482

Legal Deadline: None

Abstract: The Commission proposed amendments to Rules 134, 436, and 482 under the Securities Act of 1933 on March 14, 1986. The amendments would, if adopted, permit certain investment companies to use in their statutory and omitting prospectuses security ratings assigned by a

nationally recognized statistical rating organization (NRSRO) without first obtaining the NRSRO'S consent to being named pursuant to Section 7 of the Securities Act. The Commission is now considering whether to adopt such amendments.

Timetable:

Action	Date	FR Cite
NPRM Comment Period End	05/16/86	51 FR 9838

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Robert E. Plaze, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 Fifth Street, N.W. (Stop 5-2), Washington, D.C. 20549, 202 272-2107

RIN: 3235–AC24

3994. N-1A TECHNICAL AMENDMENTS

Legal Authority: 15 USC 580a-8(b)

CFR Citation: 17 CFR 274.11A

Legal Deadline: None

Abstract: The Commission is considering several modifications to Form N-1A including: reducing the number of copies to be filed with the Commission; conforming the language of Form N-1A with Forms N-3 and N-4; and clarifying many of the current disclosure requirements.

Timetable:

Action	Date	FR Cite

Next Action Undetermined

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: John McGuire, Staff Attorney, Securities and Exchange Commission, Division of Investment Management, 450 Fifth street, N. W., Washington, DC 20549, 202 272-2107

RIN: 3235–AC25

3995. ● CUSTODY OF INVESTMENT COMPANY ASSETS WITH REGISTERED FUTURES COMMISSION MERCHANTS

Legal Authority: 15 USC 80a-37

CFR Citation: 17 CFR 270.17f-6

Legal Deadline: None

Abstract: The Division of Investment Management is considering recommending rulemaking to permit registered investment companies to maintain initial margin and excess variation margin in the custody of certain futures commission merchants if appropriate conditions can be developed to ensure the safety and integrity of the assets thus maintained.

Timetable:

Action	Date	FR Cite
Interim Final Rule	00/00/00	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Elizabeth T. Tsai, Special Counsel, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2031

RIN: 3235–AD34

3996. ● FORMS FOR FILINGS BY ACCOUNTANTS

Legal Authority: 15 USC 80a-17(f); 15 USC 80b-6

CFR Citation: 17 CFR 270.17f-1; 17 CFR 270.17f-2; 17 CFR 270.206 (4)-2

Legal Deadline: None

Abstract: The Commission is proposing three new forms to serve as cover sheets to examination certificates filed by accountants in compliance with rules 17f-1(b)(4) and 17f-2(f) under the Investment Company Act of 1940 and rule 206(4)-2(a)(5) under the Investment Advisers Act of 1940. These forms, and related rule amendments, are intended to ensure that examination certificates are properly filed and thus easily accessible. Because the forms are only cover sheets for documents currently required to be filed, there would be no significant cost or burden for compliance.

Timetable:

Action	Date	FR Cite
NPRM	07/20/88	
Final Action	10/00/88	

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: John McGuire, Staff Attorney, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2107

RIN: 3235–AD37

SECURITIES AND EXCHANGE COMMISSION (SEC) — Completed Actions

3997. REQUEST FOR COMMENTS ON "OPINION SHOPPING"

CFR Citation: 17 CFR 210; 17 CFR 249

Completed:

Reason	Date	FR Cite
Final Action	04/12/88	53 FR 12924
Final Action Effective	05/20/88	53 FR 12924

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Robert E. Burns 202 272-2130

RIN: 3235–AC02

3998. PROPOSED ADDITIONS TO RULES AND GUIDE FOR DISCLOSURES CONCERNING RESERVES FOR UNPAID CLAIMS AND CLAIM ADJUSTMENT EXPENSES OF PROPERTY - CASUALTY UNDERWRITERS

CFR Citation: 17 CFR 210

Completed:

Reason	Date	FR Cite
Withdrawn	07/14/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Jeffrey C. Jones 202 272-2130

RIN: 3235–AC44

3999. FACILITATING SHAREHOLDER COMMUNICATIONS

CFR Citation: 17 CFR 240.14a-1; 17 CFR 240.14a-13; 17 CFR 240.14b-1; 17 CFR 240.14b-2; 17 CFR 240.14c-1; 17 CFR 240.14c-7

Completed:

Reason	Date	FR Cite
Final Action	04/27/88	53 FR 16399
Final Action Effective	09/01/88	

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: Sarah A. Miller 202 272-2589

RIN: 3235–AC81

4000. RULES 701, 702, 703 AND FORM 701

CFR Citation: 17 CFR 230.701; 17 CFR 230.702; 17 CFR 230.703; 17 CFR 239.701

Completed:

Reason	Date	FR Cite
Final Action	04/14/88	53 FR 12918
Final Action Effective	05/20/88	

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: John Reynolds 202 272-2644

RIN: 3235–AC82

4001. REGULATION D

Significance: Agency Priority

CFR Citation: 17 CFR 230.501; 17 CFR 230.502; 17 CFR 230.503; 17 CFR 230.504; 17 CFR 230.505; 17 CFR 230.506

Completed:

Reason	Date	FR Cite
Final Action	03/10/88	53 FR 7866
Final Action Effective	04/11/88	

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: John Reynolds 202 272-2644

RIN: 3235–AC83

4002. FACILITATING SHAREHOLDER COMMUNICATIONS

CFR Citation: 17 CFR 240.14a-1; 17 CFR 240.14a-13; 17 CFR 240.14b-1; 17 CFR 240.14b-2; 17 CFR 240.14c-1; 17 CFR 240.14c-7

Completed:

Reason	Date	FR Cite
Final Action	04/27/88	53 FR 16399

Small Entities Affected: None

Government Levels Affected: Undetermined

Agency Contact: Sarah A. Miller 202 272-2589

RIN: 3235–AD07

4003. ELIMINATION OF FILING REQUIREMENTS FOR PRELIMINARY PROXY MATERIAL UNDER CERTAIN CIRCUMSTANCES; RULE 14A-8 SHAREHOLDER PROPOSALS

CFR Citation: 17 CFR 229.401; 17 CFR 240.14a-3; 17 CFR 240.14a-6; 17 CFR 240.14a-8; 17 CFR 240.14a-101; 17 CFR 240.14c-3; 17 CFR 240.14c-5; 17 CFR 240.14c-101; 17 CFR 270.20a-1

Completed:

Reason	Date	FR Cite
Final Action	12/21/87	52 FR 48977
Final Action Effective	02/01/88	

Small Entities Affected: Businesses

Government Levels Affected: Federal

Agency Contact: Barbara J. Green 202 272-2509

RIN: 3235–AD08

4004. PUBLICATION OF INTERPRETATIVE AND NO-ACTION LETTERS AND OTHER WRITTEN COMMUNICATIONS

CFR Citation: 17 CFR 200.81

Completed:

Reason	Date	FR Cite
Final Action	04/07/88	53 FR 12412

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Michael G. Hyatte 202 272-2573

RIN: 3235–AD10

4005. ● VOTING RIGHTS LISTING STANDARDS - DISENFRANCHISEMENT RULE, RULE 19C-4

Significance: Agency Priority

Legal Authority: 15 USC 78s (c); 15 USC 78n (a); 15 USC 78n (b); 15 USC 78f (6) (5); 15 USC 78o-3 (b) (6); 15 USC 78k-1

CFR Citation: 17 CFR 240.19c-4

Legal Deadline: None

Abstract: Rule 19c-4 is the Commission's response to the disenfranchisement and existing shareholders as a result of corporate action which would have the effect of nullifying, restricting or disparately reducing the per share voting rights of the existing shareholders. Such a diminution on limitation of voting rights is inconsistent with the investor protection and fair corporate suffrage policies embodied in Sections 6(b)(5), 15A(b)(6) and 14 of the Securities Exchange Act of 1934. Rule 19c-4 will enhance investor protection by preventing shareholders from being disenfranchised of their voting rights. The Rule is not intended to prohibit the adoption of disparate voting plans; it is only intended to prevent adoption of such plans under circumstances that would disenfranchise existing shareholders. The Commission beiieves the costs of such a limitation do not outweigh the benefits derived from protecting shareholders from potential disenfranchisement. Under the Rule a range of capital raising techniques will still be available to issuers, no issuer will be denied the ability to raise additional equity capital.

Timetable:

Action	Date	FR Cite
NPRM	06/24/87	52 FR 23665
NPRM Comment Period End	07/15/87	
Final Action Approved by the Commission	07/07/88	53 FR 26376

Small Entities Affected: None

Government Levels Affected: None

Agency Contact: Sharon Itkin, Attorney, Branch of Exchange Regulation, Securities and Exchange Commission, Division of Market Regulation, 450 Fifth Street N.W., Mail Stop 5-1, Washington, D.C. 20549, 202 272-2451

RIN: 3235–AD28

4006. ● RULE 15BC7-1 OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT")

Legal Authority: 15 USC 78o-4; 15 USC 78q; 15 USC 78w(a)

CFR Citation: 17 CFR 240.15Bc7-1

Legal Deadline: None

Abstract: Rule 15Bc7-1 requires the Commission to make available to the Municipal Securities Rulemaking Board (MSRB)copies of any report of examination of a municipal securities dealer made by the Commission or furnished to it by an appropriate regulatory agency or registered securities association (i.e., the NASD). Because compliance with MSRB rules is enforced by appropriate regulatory agencies and the NASD, rather than the MSRB, the rule is intended to ensure that the MSRB has access to relevant information about compliance with its rules. The rule contains certain safeguards to maintain the confidentiality of the information made available to the MSRB.

Timetable:

Action	Date	FR Cite
Final Action	07/29/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Beth E. Mastro, Branch Chief, Securities and Exchange Commission, Division of Market Regulation, 450 5th Street, N. W., Washington, D. C. 20549, 202 272-2857

RIN: 3235–AD51

4007. ● RULE 17A-5 OF THE SECURITIES EXCHANGE ACT OF 1934

Legal Authority: 15 USC 78q; 15 USC 78w; 15 USC 78o

CFR Citation: 17 CFR 240.17a-5

Legal Deadline: None

Abstract: Section 17(a)(1) of the Securities Exchange Act of 1934, 15 U.S.C. s78q, provides that the securities and Exchange Commission shall prescribe by rule the records to be kept and the reports to be made and disseminated by broker-dealers. Under that section, the Commission has adopted Rule 17a-5, which is the basic reporting rule for broker-dealers. It requires the filing of Form X-17A-5, the Financial and Operational Combined Uniform Single ("FOCUS")Report and other necessary information. The FOCUS Report was designed to eliminate all of the overlapping regulatory reports required by various self-regulatory groups and the Commission and to reduce reporting burdens as much as possible. Rule 17a-5 should be continued without change.

Timetable:

Action	Date	FR Cite
Final Action	07/25/88	

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: Arvind K. Lai, Staff Attorney, Securities and Exchange Commission, Division of Market Regulation, 450 5th Street, N. W., Washington, D. C. 20549, 202 272-2762

RIN: 3235–AD52

4008. ● FORM S-11, FOR REGISTRATION UNDER THE SECURITIES ACT OF 1933 OF SECURITIES OF CERTAIN REAL ESTATE COMPANIES

Legal Authority: 15 USC 77f; 15 USC 77g; 15 USC 77s

CFR Citation: 17 CFR 239.18

Legal Deadline: None

Abstract: Form S-11 is to be used for registration under the Securities Act of 1933 of Securities issued by real estate investment trusts or issuers whose business is primarily that of acquiring and holding for investment real estate or interests in other issuers whose business is primarily that of acquiring and holding real estate or interests in real estate for investment.

Timetable:

Action	Date	FR Cite
End Review	07/27/88	

Small Entities Affected: Businesses

Government Levels Affected: None

Agency Contact: Sarah A. Miller, Special Counsel, Securities and Exchange Commission, Division of Corporation Finance, 450 5th Street, N.W., Washington, D. C. 20549, 202 272-2530

RIN: 3235–AD40

4009. RULE 174 AMENDMENT - PROSPECTUS DELIVERY DURING QUIET PERIOD

CFR Citation: 17 CFR 230.174

Completed:

Reason	Date	FR Cite
Final Action	04/11/88	53 FR 11841
Final Action Effective	04/11/88	53 FR 11841

Small Entities Affected: Businesses

Government Levels Affected: None

Agency Contact: Larisa Dobriansky 202 272-2502

RIN: 3235–AC34

4010. REVISION OF CERTAIN INVESTMENT ADVISER RECORDKEEPING RULES

CFR Citation: 17 CFR 275.204-2(a); 17 CFR 275.204-2(e)

Completed:

Reason	Date	FR Cite
Final Action	07/28/88	53 FR 32033
Final Action Effective	07/28/88	52 FR 23287

Small Entities Affected: Businesses

Government Levels Affected: Undetermined

Agency Contact: Dorothy M. Donohue 202 272-2107

RIN: 3235–AC97

4011. ● RULE 10F-2 UNDER THE INVESTMENT COMPANY ACT OF 1940– "EXERCISE OF WARRANTS OR RIGHTS RECEIVED ON PORTFOLIO."

Legal Authority: 15 USC 80a-10

CFR Citation: 17 CFR 270.10f-2

Legal Deadline: None

Abstract: Section 10(f) of the Investment Company Act prohibits a registered investment company from purchasing securities during the existence of an underwriting or selling syndicated in such securities, if any principal underwriting or selling syndicate in such securities, if any principal underwriter of the issue is an officer or a director or is otherwise affiliated with the investment company. An exception is provided in the case of issues as to which the investment company is itself a principal underwriter and the Commission is authorized to grant further exemptions by rule or order. Rule 10f-2 exempts from Section 10(f) the purchase of securities pursuant to the exercises of warrants or rights provided they were offered or granted on the same basis to all stockholders and they do not exceed 5% of the total amount of warrants or rights issued.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	
Begin Review	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2762

RIN: 3235–AD26

4012. ● RULE 19A-1 UNDER THE INVESTMENT COMPANY ACT OF 1940– "WRITTEN STATEMENT TO ACCOMPANY DIVIDEND PAYMENTS BY MANAGEMENT COMPANIES."

Legal Authority: 15 USC 80a-19(a); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.19a-1

Legal Deadline: None

Abstract: Section 19 of the Investment Company Act of 1940 makes it unlawful for any registered investment company to pay any dividend, or to make any distribution in the nature of a dividend payment, wholly or partly from any source other than (1) such company's accumulated undistributed net income, determined in accordance with good accounting practice and not including profits or losses realized from the sale of securities or other properties, or (2) such company's net income so determined for the current or preceding fiscal year, unless such payment is accompanied by a written statement adequately disclosing the source or sources of such payment. The Commission is empowered under Section 19 to prescribe the form of such written statement. The rule specifies the information which must be included in the statement.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	
Begin Review	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2762

RIN: 3235–AD35

4013. ● RULE 19B-1 UNDER THE INVESTMENT COMPANY ACT OF 1940 – "FREQUENTLY OF DISTRIBUTION OF CAPITAL GAINS."

Legal Authority: 15 USC 80a-6(c); 15 USC 80a-19(a) and (b); 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.19b-1

Legal Deadline: None

Abstract: Section 19(b) of the Investment Company Act of 1940 ("Act") was added by the Investment Company Amendments Act of 1970, Public Law 91-547 ("1970 Act") [84 Stat. 1422], effective December 14, 1971, to make it unlawful, in contravention of such rules as the Commission may adopt, for any registered investment company to distribute long-term capital gains more often than once every twelve months. The section was added to relieve managers from pressure to realize such gains on a frequent and regular basis, mitigate improper sales practices related to the distribution of such gains, and eliminate the administrative expenses attending quarterly or semi-annual capital gains distributions. Rule 19b-1 implements Section 19(b) by limiting distribution with respect to the long-term capital gains realized by the company during any one taxable year, with certain exceptions.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	
Begin Review	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N.W., Washington, D.C. 20549, 202 272-2762

RIN: 3235–AD46

4014. ● RULE 23C - 2 UNDER THE INVESTMENT COMPANY ACT OF 1940 – "CALL AND REDEMPTION OF SECURITIES ISSUED BY REGISTERED CLOSED-END COMPANIES

Legal Authority: 15 USC 80a-23; 15 USC 80a-37(a)

CFR Citation: 17 CFR 270.23c-2

Legal Deadline: None

Abstract: Section 23(c) of the Investment Company Act of 1940 makes it unlawful for any registered closed-end investment company to purchase any securities of any class of which it is the issuer except under certain enumerated circumstances or under such other circumstances as the Commission may permit by rules and regulations or orders. The Commission adopted Rule 23c-2 to permit a registered closed-end company to call or redeem securities of which it is the issuer and to specify the conditions under which it may do so.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	
Begin Review	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N. W., Washington, D. C. 20549, 202 272-2762

RIN: 3235–AD47

4015. ● RULE 24E-1 UNDER THE INVESTMENT COMPANY ACT OF 1940—"FILING OF CERTAIN PROSPECTUS AS POST-EFFECTIVE AMENDMENTS TO REGISTRATION STATEMENTS UNDER THE SECURITIES ACT OF 1933"

Legal Authority: 15 USC 80q-24

CFR Citation: 17 CFR 270.24e-1

Legal Deadline: None

Abstract: Section 24(e)(3) of the Investment Company Act of 1940 ("Act"), which was added by Public Law No. 577, 83rd, Congress, requires requires that a prospectus relating to a security issued by a face-amount certificate company or a redeemable security issued by an open-end management investment company or unit investment trust "which varies for the purposes of subsection (a)(3) of Section 10 of the Securities Act of 1933 from the latest prospectus filed as a part of the registration statement" must be requirements of Section 10 of the 1933 Act, except to the extent the Commission otherwise provides by rules and regulations. Some questions arose as to the scope of the above quoted language of Section 24(e)(3). The Commission believes that this language refers to a prospectus which is prepared for the purpose of providing more current information, in compliance with that Section because the information therein is no longer sufficiently current to meet the statutory requirements; however, prospectus as a post-effective amendment to the registration statement.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	
Begin Review	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Additional Information: the Commission adopted Rule 24(e)(3) does not require the filing of every changed

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N. W., Washington, D. C., 202 272-2762

RIN: 3235–AD48

4016. ● RULES 24B-1, 24B-2, AND 24B-3 UNDER THE INVESTMENT COMPANY ACT OF 1940, RULES RELATING TO THE FILING OF SALES LITERATURE WITH THE COMMISSION TO COMPLY WITH SECTION 24(B) OF THE ACT

Legal Authority: 15 USC 80a-37

CFR Citation: 17 CFR 270.24b-1; 17 CFR 270.24b-2; 17 CFR 270.24b-3

Legal Deadline: None

Abstract: Rule 24b-1 was adopted to clarify certain terms used in Section 24(b) of the Investment Company Act of 1940. Rule 24b-2 was adopted to identify documents filed to comply comply with Section 24(b). Before its adoption, investment companies tended to forward a variety of documents without properly indicating the purpose for which they were filing such materials. Rule 24b-3 was adopted to relieve investment companies which file their sales literature and ads with the National Association of Securities Dealers of their obligation to file the same materials with the Commission. Most investment company sales literature originates from firms which belong to the NASD. NASD members must file sales literature, including investment company sales literature, for NASD review under the NASD Rules of Fair Practice. The NASD reviews each piece of sales literature it receives for compliance with its rules and the Commission's rules.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N. W., Washington, D. C. 20549, 202 272-2762

RIN: 3235–AD49

4017. ● RULE 24E-2 UNDER THE INVESTMENT COMPANY ACT OF 1940— "COMPUTATION OF FEE."

Legal Authority: 15 USC 80a-24; 15 USC 80a-6(c)

CFR Citation: 17 CFR 270.24e-2

Legal Deadline: None

Abstract: Section 24(e)(1) of the Investment Company Act of 1940 ("Act"), provides that registration statements under the Securities Act of 1933 (15 U.S.C. 77a-77aa) ("1933 Act") relating to securities of certain investment companies, including open-end management companies, may be amended after their effective dates so as to increase the securities specified therein as proposed to be offered. Most open-end management companies offer their shares on a continuous basis, and almost all of those companies making such a continuous offering use the procedure permitted by Section 24(e)(1) of the Act to increase, from time to time, the number of registered shares being offered. Rule 24e-2 provides an optional method for calculation of registration fees by open-end investment companies registering additional shares by requiring fees only for those shares being registered in excess of the number of shares redeemed or repurchased.

Timetable:

Action	Date	FR Cite
Final Action	08/01/88	

Small Entities Affected: Undetermined

Government Levels Affected: Undetermined

Agency Contact: Carolyn A. Miller, Senior Financial Analyst, Securities and Exchange Commission, Division of Investment Management, 450 5th Street, N. W., Washington, D. C. 20549, 202 272-2762

RIN: 3235–AD50

[FR Doc. 88-21006 Filed 10-21-88; 8:45 am]

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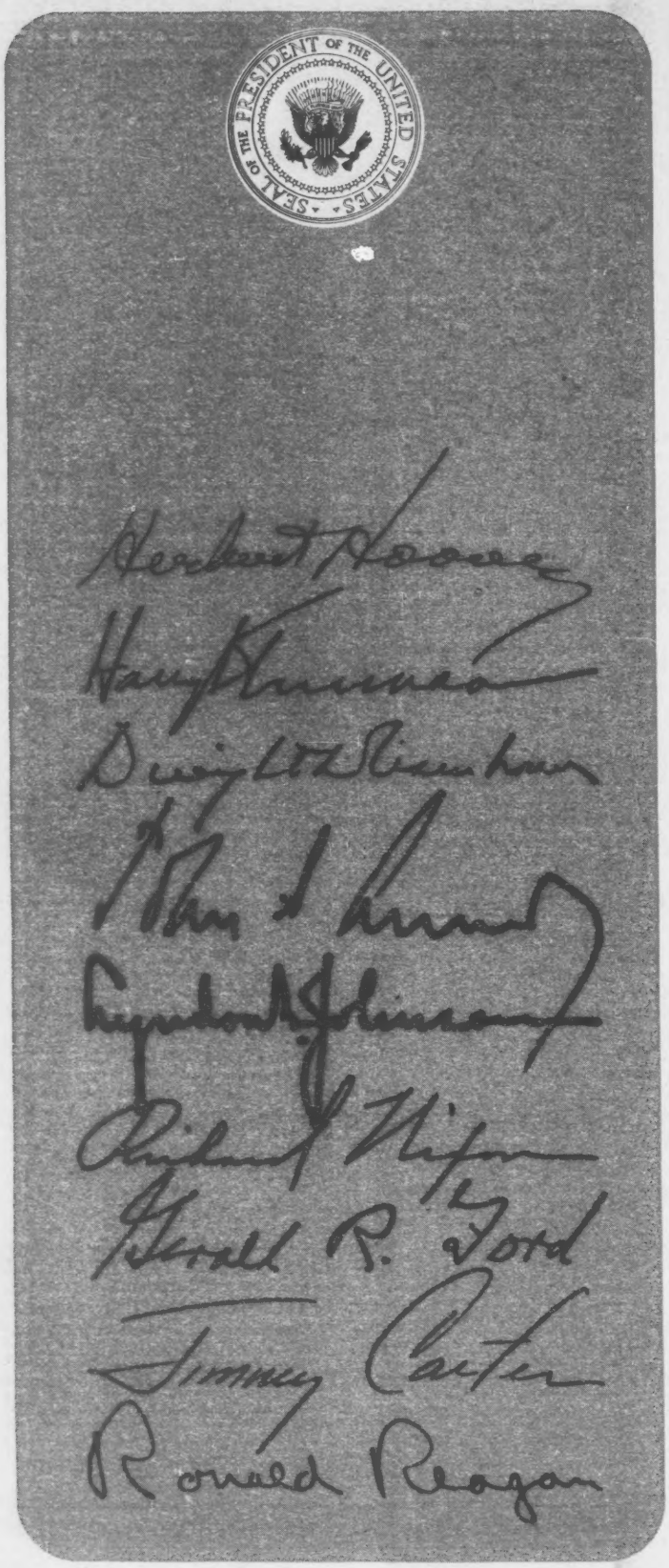

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